PCIE ECIE Human Resources Committee Survey of Core Competencies

Supplemental Information (as of October 2002)

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Information compiled by:
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	PCIE ECIE Human Resources Committee			
	Survey of Core Competencies for			
	Auditors			
OIG	**Developed Competencies?**	**Contact Name**	**Aware of other OIGs or organizations who have developed competencies?**	**Developed a Training Plan, Curriculum or Matrix to address competencies?**
VA-OA	Drafting	`Lee Bailey` `(202) 565-7610` **Lee.Bailey@mail.va.gov**		Drafting auditor core competencies / training handbook. Contact Mike Raponi, (202) 565-8905
NASA-OA	Yes	Chet Slipsock `(202)-358-0203 ???` Chester.A.Sipsock@grc.nasa.gov		Will serve as the basis for a new auditor training program. We have integrated the core competencies with the individual development plans and mid year appraisals of our staff auditors and are now integrating these documents into an overall training plan to improve staff competencies. Bobbie.J.Wells@grc.nasa.gov (216) 433-8980
DOC-OA	Yes	`Ray Valdez,` `202-482-4948`		Michael Sears, AIG/Audits, DOC OIG 202-482-1934 provided a training directive
NRC-OA	No	Stephen D. Dingbaum **SDD@nrc.gov**	GAO	We use individual training plans for each auditor, but they are not based on core competencies.
HUD-OA	No	Jim Heist, AIGA 202-708-0364		Developed a training matrix in 1998 for Auditor Series 511 & 501. Matrix will be updated in the near future.

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DOD-OA	No	Teri Clark 703-604-8950 tclark@dodig.osd.mil		Has developed 1) internal auditor certifications for certain functional areas: financial, contract management, acquisition, information technology acquisition, and logistics. Has drafted 1) Training & Development Plan at GS-5-9 level hired under the Career Intern Program. Such hires are under a 2 year excepted service appointments. Expect final by September. 2) Auditor Career Development & Training Framework for GS-5 thru 15. This framework describes the skills needed at each grade level, suggested work experience and recommended and required formal training.
FCC-OA	No	Thomas Bennett, AIGA TBENNETT@fcc.gov		We use the guidelines established by OPM for the 0511 auditors series to develop individual PD's. We are a fairly small office (7 professional staff). Typically, we hire more experienced senior staff, and are more interested in specific skills than core skills.
DOJ-OA	Yes	David Mehring 202 616-4667 David.S.Mehring@usdoj.gov		Has identified Training Priorities and Core Courses, Knowledge Levels, and Training Plans.
AID-OA	No	Ann Kruszewski (202) 712-5397 akruszewski@usaid.gov	SSA - contact Rick Wilson (410) 965-9726, or Rick.Wilson@ssa.gov	The Social Security Administration included a training plan in their core competencies package.

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Corporation for Public Broadcasting	No	David Tanner (202) 879-9638 dtanner@cpb.org		We rely on our historical understanding of the broad subject areas that a well-rounded auditor needs to master to be competent and the particular audit environment that exists at CPB. We make extensive use of training opportunities to develop and expand our competencies.
TIGTA-OI	No	Rick Kratzer (202) 927-7227 Rick.Kratzer@tigta.treas.gov		Treasury Inspector General for Tax Administration uses an IDP as a career plan for acquiring job-related skills and identifying specific skills needed to advance toward career goals.
Railroad Retirement Board-OA	No	Brenda Berry 312-751-3328 Bberry@oig.rrb.gov	HHS OIG	No - See comments about HHS OIG.
Corporation for National and Community Service	No	Dan Lybert, AIGA, CNCS (202) 606-5000 X548 d.lybert@cnsoig.gov		Basic qualifications for all positions include being GS-511 qualified, audit managers include a certification as a CPA or CIA. We also encourage obtaining a Grant Management Certificate as most of our work is grant related.
FMC	No	Jerome Johnson jeromej@fmc.gov		No
National Science Foundation	No	Karen Scott kscott@nsf.gov	HHS OIG	As part of a new recruitment program we are developing to hire entry level auditors, we are currently developing both core competencies and an associated training program to address these competencies for GS-5/7/9/11 auditors. Once this project is completed, we plan to move to develop the competencies and training for the higher auditor grades 12,13,14,15 and SES levels.

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OIG	Developed Competencies?	Contact Name	Aware of other OIGs or organizations who have developed competencies?	Developed a Training Plan, Curriculum or Matrix to address competencies?
DOE	Yes	Barbara Chism Dept of Energy (202) 586-1931 barbara.chism@hq.doe.gov		We have not developed any training plans in conjunction with these competencies; however, we have developed training plans in other areas.
OPM	No	Joyce D. Price 202-606-2156 JDPRICE@opm.gov		OPM developed an agency-wide Core Competency Training and Development Model. We use OPM's model as a guide in considering the training needs of our auditors.
FEMA	No	Nancy Hendricks Nancy.Hendricks@fema.gov	DOD-OIG Also, try the military audit offices such as Navy Audit, Air Force Audit, and Army Audit Agency.	
HHS	Yes	Anne Francis 202-205-9109 AFRANCIS@oig.hhs.gov	The HHS/OIG Office of Audit Services (OAS) Training Guide has a section on auditor core competencies. HHS also provided a copy of an earlier NASA survey (in 2000) on audit competencies. Auditor Core Competencies include: General; Standards & Types of Audits; Auditing Concepts & Techniques; Reporting; Fraud Detection & Prevention; Managing the Audit; Communication & Collaboration; & Computer Skills. Audit Support Core Competencies include: General; Policies, Procedures, & Legal Requirements; Computer Skills; Communication & Collaboration; & Personal Development. Manager Core Competencies include: General; Leading the Organization; Leading People; & Communication & Collaboration. SES Core Competencies include: Leading Change; Leading People; Results Driven; Business Acumen; & Building Coalitions/Communication.

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OIG	Developed Competencies?	Contact Name	Aware of other OIGs or organizations who have developed competencies?	Developed a Training Plan, Curriculum or Matrix to address competencies?
EPA-OA	Yes	Bennie Salem (913) 551 - 7831 salem.bennie@epa.gov	Drafted a new Career Management Framework (CMF). It is an integrated career development and performance management tool. We based this design on three major influences. They were: (1) GAO Performance Model--the model before their current direction, (2) HHS Career Development Program, and (3) our adoption of the High Performance Organization (HPO) and its Network Talent Mode approach to career development. The CMF provides detailed information to individuals, supervisors, and human resource professionals on assessing individual performance against organizational expectations, as well as on training for improving performance and assisting in meeting career objectives. This document represents the EPA-OIG approach for career development and performance management. It is based on our adoption of the Network Talent Model, which states that every position within our organization have leadership, management, team, and technical skills. Auditors can be involved in a variety of auditing and evaluation activities. The auditor is to be performing at a developmental, expectation, or coaching level for seven job dimensions that universally apply to successful job performance. These dimensions include Planning & Conducting Work, Gather & Analyze Information, Written Communication, Oral Communication, Management, Leadership, & Teamwork. These job dimensions are key tools leading employees through their job paths. We are using them to measure performance as well as to determine areas for career development. Increased proficiency is expected as one progresses within his or her chosen career area.
State	Yes	Kevin Hrynkow 703 284-2713 hrynkowk@state.gov		Developed a draft Training Continuum for Civil Service employees in the financial management occupational job series (includes the 511 series). Provided a file (Fin Mgt.doc). Identified required skills, technical competencies, and recommended or suggested training.
SBA	No	Bob Seabrooks , AIGA 202-205-7203 Robert.Seabrooks@sba.gov	Department of Education	Provided a training profile for ensuring auditors receive training in key areas to promote their development as full performance auditors (training profile for auditors2.doc).

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OIG	**Developed Competencies?**	**Contact Name**	**Aware of other OIGs or organizations who have developed competencies?**	**Developed a Training Plan, Curriculum or Matrix to address competencies?**
DOT	Yes	Angie Thorpe 202-493-2241 thorpea@oig.dot.gov	HHS OIG	Recently developed an initial set of core competencies and a training curriculum to support the competencies. Our plan has not been finalized at this time because we need to subject it to beta testing and we also expect the competencies to be dynamic for the near-future.
DOL	Yes	Robert Curtis, AIGA 202-693-7001 rcurtis@oig.dol.gov		Yes. We are attempting to have each employee along with their supervisor and manager review the core competencies for their grade level and then do an assessment of what they need. The IDP should be developed to provide both training and OJT. Have a Competencies Matrix for Auditors, Program Analysts, and IT Auditors.
USDA	No	Marlane Evans (202) 720-5907 MTEVANS@oig.usda.gov		We have not developed "core competencies" for auditors. However, we have a well-established auditor training program that provides the means for the development of our staff in skills necessary to conduct audits in accordance with auditing standards. We have three nationally coordinated in-house Audit Academies to address the basic, intermediate, and advanced knowledge, skills, and abilities needed by our staff. These training programs are continuously updated to reflect changing audit requirements. Although the curriculum in these Academies can be linked to a "core competency" concept, we have not formally identified them as such. We are currently re-evaluating our training program, position descriptions, and performance standards to more clearly identify the competencies needed to progress in our organization.

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OIG	**Developed Competencies?**	**Contact Name**	**Aware of other OIGs or organizations who have developed competencies?**	**Developed a Training Plan, Curriculum or Matrix to address competencies?**
TVA	Yes	Jill Matthews (865) 632-4730 jmmatthews@tva.com		We have a listing of job requirements for each level of auditor within our organization. In addition, we have a specific training program (the ACT Program) geared toward new auditors that is designed to develop their skills through on the job experience and classroom instruction which will provide a fundamental knowledge base to enable them to plan, lead, and execute audits.

Additional related information obtained during Survey

HHS Provided Information on Auditor Core Competencies Obtained by an Earlier FAEC Survey Conducted by NASA in 2000

Leadership Effectiveness Framework

Copy available - Includes competencies for Leading Change, Leading People, Results Driven, Business Acumen, & Building

Pilot Draft included the following general competency descriptors:
FUNDAMENTAL - Reading, Writing, Arithmetic, Learning & Memory
COMMUNICATION/COLLABORATION - Oral Communication, Interpersonal Skills, Customer Service & Teamwork
IMPACT - Decision Making, Reasoning, Problem Solving, Attention to Detail, Math Reasoning, Technology Application, & Planning and Evaluating
PERSONAL AWARENESS - Self-Esteem, Integrity/Honesty, Self-Management, Stress Tolerance & Flexibility
INNOVATION/RESULTS - Creative Thinking & Information Management

Pilot Draft included the following technical competency descriptors (4 levels including: Entry, Intermediate Journey, & Senior Expert):
General Accounting Competencies: Generally Accepted Accounting Principles, Accounting Operations & Business Practices, Standards, Theory, & Process, Cost Acctg, Economics & Banking Systems, Statistical Methods, Internal Controls, Audits Formal Reviews, Working Capital Funds & Trust & Revolving Fund Management
Specialized Accounting Competencies: Support Mission/Function of Agency/Organization, Federal Government Accounting Principles & Concepts, Federal Financial Reporting Requirements, Process Improvement, Performance Measurement, Program Evaluation & Consulting
Competencies in Related Areas: Business Law, Human Resource Functions & Applications, Information Technology Concepts, Tools & Systems, Information Technology Systems Development, Documentation & Administration, Business Acumen & Marketing, & Optimize Workforce Potential

See AICPA web site (links current as of 1/09/03) for the Profession's Current Competencies: http://www.aicpa.org/assurance/about/newsvc/prof.htm
and for tomorrow's competencies under the section called "Analysis of Interviews with Potential Assurance Customers":
http://www.aicpa.org/assurance/about/newsvc/compfut.htm

AICPA also has developed various Competency Models along with a Competency Assessment Tool for use by individuals and businesses.
http://www.cpatoolbox.org/

Each model is divided into four areas of competence: Personal Attributes, Leadership Qualities, Broad Business Perspective, & Functional Expertise.
to assist in identifying qualities and competencies that are relevant to their organization. Employers can use the Competency Assessment Tool:

- in conjunction with the self-assessment tool, to identify gaps between employee competencies and employer needs,

- to design employee career development plans aligned to corporate needs,

- as a guide for selecting educational programs to close the gaps between competencies and needs.

Joe Burton
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Defense Contract Audit Agency established auditor competencies for its contract audit workforce. DCAA has a database available listing competencies by area and by training course. Technical core competencies are covered in courses: Technical Indoctrination (1120), Graphic, Computational, and Improvement Curve Analysis Techniques (4230), Intermediate Contract Auditing (1320), and Statistical Sampling

Defense Intelligence Agency identified the following as the auditor's core knowledge and competencies areas:

Administration & Security - DoD/DIA administrative & security policies and procedures and their effective implementation.

Communications - writing & speaking or briefing in a wide range of formats/mediums.

Leadership & Interpersonal Skills - foster effective & willing cooperation in the work force to achieve the DIA mission.

Organization, Missions & Functions - understanding the mission, goals, & structure of DIA, the Intelligence Community, the U&S Commands, and the Military Services.

Rich DiPasquale

Provided their 511 Auditor Inventory of skills, competencies and knowledge required of ED-OIG auditors. Includes the following categories General, Conducting the Audit (Planning), Audit Procedures (General, Internal Controls, Analysis, Fraud, technical skills, & Audit Supervision),

Mike Phelps

In a 1/13/00 response to an IGATI curriculum review, HUD considers the following to be core competencies for auditors:
Listening Skills, Interviewing Skills, Oral Presentation Skills, Reading Comprehension Skills, Writing Skills, Managing and Organizing Information,

David Loewenstein
202-416-2412

In a 1/14/00 response to an IGATI curriculum review, provided rating factors: Technical knowledge, Analytical Skills, Organization & Planning, Oral Communications, Written Communication, Teamwork, Concern for improvement, Interpersonal skills, Problem solving & decision making,

Jeffrey Schanz

In a 1/18/00 response to an IGATI curriculum review, indicated the following as core competencies: Audit Evidence, Adherence to GAS, Auditor-in-Charge, Interviewing Skills, Proficiency in Word-Excel-Access-PowerPoint, Advanced Audit Techniques in Operations Research-Statistics-

Jill Henderson
202-606-4722

In a 1/18/00 response to an IGATI curriculum review, indicated the following as core competencies: Auditing/Analytical Expertise, Leadership

In a response to an IGATI curriculum review, indicated the following as Knowledge, Skills & Abilities: General; Audit Policies & Procedures; Auditing & Accounting; Performance Audits; Government Performance & Results Act; Financial Audits; Single Audits; Information Systems Audits; Procurement Audits; Fraud, Waste, & Abuse Awareness; Communication Skills; Supervision & Management; Personal Development; SSA Programs; & Office Automation.

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Investigators

OIG/ Organization	Developed Competencies?	Contact Information	Aware of oOther OIGs or organizations who have developed competencies?	Developed a Training Plan, Curriculum or Matrix to address competencies?
CNSC	No	Robert Shadowens (202) 606-5000 r.shadowens@cnsoig.gov	No	N/A
DOD	No	Bobbi Key (703) 602-4523	No	N/A
DOE	On an ad hoc basis	Barbara Chism (202) 586-1931 barbara.chism@hq.doe.gov	No	training plans not connected to competencies
DOI	Updating/ Drafting	David A. Montoya david_a_montoya@oig.doi.gov	N/A	critical elements, career progression, and training protocols
Educ.	Yes	Chris Fox chris.fox@ed.gov (312) 886-8789	No	skills matrix includes training objectives career path guide
EPA	Yes	Bennie Salem (913) 551-7831 salem.bennie@epa.gov	N/A	career management framework
FDIC	Will Develop	Rex Simmons (202) 416-2483	N/A	core competencies, training plans optional
HHS	No	Frank J. Nahlik (202) 619-2555 fnahlik@oig.hhs.gov	No	promotion guidelines, standardized position descriptions

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Investigators

OIG/ Organization	Developed Competencies?	Contact Information	Aware of oOther OIGs or organizations who have developed competencies?	Developed a Training Plan, Curriculum or Matrix to address competencies?
NSF	Yes	Peggy Fischer (703) 292-4889 pfischer@nsf.gov	No	core competencies, training plan
State	No	Hal Fuller (for other discip) (703) 284-2708	PCIE Quality Standards for Investigations	N/A
TIGTA		Rick Kratzer (202) 927-7227 rick.kratzer@tigta.treas.gov	N/A	position description, training chapter
Treas.	No	Jim Burke (202) 927-5765 burkej@oig.treas.gov	N/A	N/A
TVA	Yes	Jim Farr (865) 632-3828 jffarr@tva.gov	DOL	training and development guide
USAID	No	Kim Smith kjsmith@usaid.gov	EPA	use OPM training and promotion guidelines
USDA	Will start developing	Ann Turner (202) 690-4489 amturner@oig.usda.gov	No	training plan (not connected to competencies)

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Evaluators / Inspectors

OIG/ Organization	Developed Competencies?	Contact Information	Aware of other OIGs or organizations who have developed competencies?	Developed a Training Plan, Curriculum or Matrix to address competencies?
DVA	No	Alanson Schweitzer (202) 565-8305 alanson.schweitzer@mail.va.gov	HHS OIG Inspections & Evaluations	No, but have discussed data gathering, bibliographic research, statistical sampling and analysis, interview techniques, component synthesis, effective partnering with audit and investigations, and clear writing skills
Education	Drafting	Brent Weston (202) 205-9833 brent.weston@ed.gov	HHS OIG Inspections & Evaluations	In process
EPA	Yes	Bennie Salem (913) 551 - 7831 salem.bennie@epa.gov		Yes, Grades GS-5 - GS-13
HHS	Yes			
NASA	No	David Cushing (202) 358-2572 dcushing@hq.nasa.gov	HHS OIG Inspections & Evaluations	No